

PAPERWORK REDUCTION ACT SUBMISSION

Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the supporting statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW, Washington, DC 20503.

1. Agency/Subagency originating request	2. OMB control number b. <input type="checkbox"/> None a. _____ - _____
3. Type of information collection (<i>check one</i>) a. <input type="checkbox"/> New Collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number For b-f, note Item A2 of Supporting Statement instructions	4. Type of review requested (<i>check one</i>) a. <input type="checkbox"/> Regular submission b. <input type="checkbox"/> Emergency - Approval requested by _____ / _____ / _____ c. <input type="checkbox"/> Delegated 5. Small entities Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input type="checkbox"/> No 6. Requested expiration date a. <input type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: _____ / _____
7. Title	
8. Agency form number(s) (<i>if applicable</i>)	
9. Keywords	
10. Abstract	
11. Affected public (<i>Mark primary with "P" and all others that apply with "x"</i>) a. <input type="checkbox"/> Individuals or households d. <input type="checkbox"/> Farms b. <input type="checkbox"/> Business or other for-profit e. <input type="checkbox"/> Federal Government c. <input type="checkbox"/> Not-for-profit institutions f. <input type="checkbox"/> State, Local or Tribal Government	12. Obligation to respond (<i>check one</i>) a. <input type="checkbox"/> Voluntary b. <input type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory
13. Annual recordkeeping and reporting burden a. Number of respondents _____ b. Total annual responses _____ 1. Percentage of these responses collected electronically _____ % c. Total annual hours requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____	14. Annual reporting and recordkeeping cost burden (<i>in thousands of dollars</i>) a. Total annualized capital/startup costs _____ b. Total annual costs (O&M) _____ c. Total annualized cost requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____
15. Purpose of information collection (<i>Mark primary with "P" and all others that apply with "X"</i>) a. <input type="checkbox"/> Application for benefits e. <input type="checkbox"/> Program planning or management b. <input type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research c. <input type="checkbox"/> General purpose statistics g. <input type="checkbox"/> Regulatory or compliance d. <input type="checkbox"/> Audit	16. Frequency of recordkeeping or reporting (<i>check all that apply</i>) a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input type="checkbox"/> Reporting 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) _____
17. Statistical methods Does this information collection employ statistical methods <input type="checkbox"/> Yes <input type="checkbox"/> No	18. Agency Contact (person who can best answer questions regarding the content of this submission) Name: _____ Phone: _____

19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal Agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9

NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It used plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention period for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3):
 - (i) Why the information is being collected;
 - (ii) Use of information;
 - (iii) Burden estimate;
 - (iv) Nature of response (voluntary, required for a benefit, mandatory);
 - (v) Nature and extent of confidentiality; and
 - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of the provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Senior Official or designee

Date

Agency Certification (signature of Assistant Administrator or head of MB staff for L.O.s, or of the Director of a Program or Staff Office)	
Signature	Date
Signature of NOAA Clearance Officer	
Signature	Date

**SUPPORTING STATEMENT
ANTARCTIC MARINE LIVING RESOURCES
CONSERVATION AND MANAGEMENT MEASURES**

Section A. Justification.

1. Need:

This statement supports a request for a revision to the authority to collect information originally granted to the Department of Commerce in 1988; extended in 1991; supplemented in 1993; extended again in 1994; and extended in 1997.

The 1982 Convention for the Conservation of Antarctic Marine Living Resources established the Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR) for the purpose of protecting and conserving the marine living resources in the waters surrounding Antarctica. The Convention is based upon an ecosystem approach to the conservation of marine living resources and incorporates standards designed to ensure the conservation of individual populations and species and the Antarctic marine ecosystem as a whole.

The Commission adopted its first conservation measures during the 1984 session (CCAMLR III). In 1988, NMFS implemented requirements, involving collections of information (#0648-0194) for the harvesting and importation of Antarctic Marine Living Resources from the CCAMLR Convention Area.

Due to the scale of illegal, unregulated and unreported fishing for Patagonian toothfish (*Dissostichus eleginoides*) and Antarctic toothfish (*Dissostichus mawsoni*) in the waters of the Convention area, CCAMLR has adopted a number of conservation measures in the last several years. These measures have included flag state licensing of fishing vessels, catch quotas, vessel monitoring systems, port inspections of landings and transshipments, and identification of vessels and fishing gear. Despite increased inspections and sanctions in recent years, the amount of unregulated harvest of toothfish has been estimated at 90,000 mt, about twice the level of the CCAMLR regulated fisheries.

At its Eighteenth Meeting in Hobart, Tasmania, October 25 to November 5, 1999, CCAMLR addressed illegal fishing by adopting a catch documentation scheme for toothfish. The catch documentation scheme will monitor international trade; identify the origins of imports; determine if imports caught in the convention area were caught consistent with CCAMLR conservation measures; and provide catch data for stock assessment. The documentation scheme requires that CCAMLR Contracting Parties provide a uniquely numbered *Dissostichus* Catch Document (DCD) to each vessel under its jurisdiction that is authorized to harvest toothfish. Upon completion, each DCD becomes a chain-of-custody document that accompanies the toothfish as it enters into commerce and/or international trade.

The United States is a Member of CCAMLR and does not intend to object to this CCAMLR conservation measure. As a Member, it will be required under international law to implement the *Dissostichus* catch documentation scheme by May 7, 2000.

2. Purpose: U.S. regulations require U.S. nationals to obtain permits to engage in Antarctic resource harvesting and importing or entering and/or conducting activities in a CCAMLR Ecosystem Monitoring Program (CEMP) site to apply for and hold a permit for such activities.

The regulations comply with and give effect to the Convention for the Conservation of Antarctic Marine Living Resources. Members of the Convention are required to provide, in the manner and at such intervals as may be prescribed, information about harvesting activities, including fishing areas and vessels, so as to enable reliable catch and effort statistics to be compiled.

Members agree in Article XX to take advantage of opportunities to assess the impact of harvesting. Members are also required to provide information to the Commission on steps to be taken to implement the conservation and management measures adopted by the Commission.

Article XXI requires the Contracting Parties to take appropriate action to ensure compliance with the Convention and with the conservation and management measures adopted by the Commission. Each Contracting Party is required to transmit to the Commission information on these actions, including the imposition of sanctions for any violation.

The Department of Commerce has reviewed the Convention and the conservation and management measures adopted by the Commission and concluded that a permit system is the most effective way to monitor Antarctic resources, provide treaty-related data to the Commission, meet international obligations, and ensure compliance, without unduly burdening harvesting and importing activities.

Specifically, U.S. regulations govern the harvest and importation into the United States of any Antarctic marine living resource (AMLR), part or product, by any person subject to the jurisdiction of the United States, including U.S. citizens and those non-nationals wishing to import into the United States. The regulations require any person who plans such activities to obtain a harvesting permit or dealer permit from the Department of Commerce unless the activities are already sanctioned by another DOC permit or by the National Science Foundation (NSF).

Under the Antarctic Conservation Act of 1978, NSF has permitting authority for native birds and mammals and certain plants taken from areas south of 60 degrees S. latitude. In order to minimize the public paperwork burden, DOC regulations exempt an Antarctic harvester or importer holding a permit or an award (as evidenced by an award letter) from NSF from an endangered species or marine mammal permit from the National Marine Fisheries Service and from the need to obtain a separate Antarctic permit from DOC. Although a DOC permit is not required of NSF permit or award holders, they must comply with both preexisting data requirements related to the NSF or NMFS permit or award and current CCAMLR data requirements.

(a) Dealer permit

The United States uses Antarctic harvesting permits to monitor and control the harvesting and associated activities of its vessels in the Convention Area. But in order to fully meet its treaty obligations, the United States must also monitor and control the importation of Antarctic marine living resources.

Import is defined in Section 303 of the Antarctic Marine Living Resources Convention Act as "to land on, bring into, or introduce into any place, subject to the jurisdiction of the United States, whether or not such landing constitutes an importation within the meaning of the customs laws of the United States." No resources harvested in violation of a conservation measure in force with respect to the United States can be imported into this country.

Any person importing Antarctic marine living resources into the United States must either have a harvesting permit or a dealer permit. The existing import permit has been renamed a dealer permit and combined with the re-export permit so that an applicant can apply for either or both on the same application. The dealer permit application requests the applicant to provide a name, company, and business address; to briefly describe the resource and note the amount to be imported; and to give the harvesting vessel's name, areas fished (CCAMLR statistical subareas and in the case of toothfish, FAO statistical subareas for outside CCAMLR waters), and dates of harvest. A copy of the permit must accompany any resources imported under its authority.

To date, seventeen dealer permits have been issued: two for krill imports and the remainder for toothfish. However, during 1999, the number of importers of record of toothfish, based on Customs data, may have been 50-80.

(b) Re-export permit

Dealers who wish to re-export any product harvested in the CCAMLR Convention Area or, in the case of toothfish, anywhere, can also apply for a re-export permit using the same application as described above. This will aid NMFS in the development and maintenance of a comprehensive data base listing all dealers who not only import but re-export their product, enabling NMFS to notify all known dealers in a timely fashion regarding time/area closures as well as any changing requirements. A copy of this re-export permit must accompany any shipment exiting the United States.

(c) Import ticket

Within 24 hours of any import, the importer must submit a completed import ticket describing the resources imported. The reporting timeframe has been shortened because, if the information on an import ticket has enforcement implications, action must be taken quickly before the shipment is moved or even dispersed. The import ticket requests the name and address of the individual and company importing the resource, the resource imported and the date, the quantity of the resource, the harvesting vessel or vessels, the flag nation, the U.S. Customs CF7501 number, the areas

fished (includes CCAMLR statistical subareas and in the case of toothfish, FAO statistical subareas for catch taken outside CCAMLR waters), the approximate harvest date, and number of the harvesting permit or license. The last four of these items have been added to the existing import ticket to enable the United States to carry out its mandate to deny entry to fish taken in the CCAMLR Convention Area contrary to CCAMLR conservation measures. Import tickets allow multiple importations on a single permit. The use of the import tickets referencing a pre-issued dealer permit facilitates the expeditious shipment of resources by the permit holder, while allowing the United States to monitor what is actually imported versus what is requested in the permit application. The import ticket must be accompanied by a completed *Dissostichus* Catch Document for each shipment as described below.

(d) Catch Documents

Catch documents will be required to accompany all imports of toothfish. No shipment of *Dissostichus* species shall be released for entry into the customs territory of the United States unless accompanied by a complete and validated CCAMLR *Dissostichus* Catch Document (DCD). A flag state would issue a non-transferrable DCD that is uniquely identified for a vessel. The master of the harvesting vessel would record the catch information specified on the DCD and convey such catch information to NMFS by the most rapid electronic means possible prior to offloading to obtain a confirmation number from NMFS to be recorded on the DCD. Upon transshipment or landing *Dissostichus* species, the master of the harvesting vessel would obtain the signature of the master of the vessel to which the catch is transferred or of a responsible official designated by NMFS in the permit and the dealer that receives the catch at the port of landing. After signing the DCD, the master of the harvesting vessel would provide a copy to each recipient of the catch and to NMFS by the most rapid electronic means possible. A similar responsibility would be required of the master of a transshipment vessel.

Any dealer who imports toothfish must obtain the DCD(s) that accompany the import shipment, mail or fax the DCDs to NMFS at an address designated by NMFS within 24 hours of the release from customs custody along with the import ticket, provide copies to exporters as needed, and retain a copy for his/her records at the place of business for a period of 2 years from the date on the DCD.

In the case of re-exports of *Dissostichus* species, an exporter would complete a re-export document by indicating the amount from the original DCD(s) that is contained in the particular export shipment, the number of the original DCD(s), the name of the importer and point of import, and the exporter's name, address and permit number. The exporter would then sign the re-export document and obtain validation by an authority designated by NMFS. The original re-export document would be transmitted with the export shipment together with copies of the original DCD(s) as applicable to that shipment.

(e) Harvesting permit

The harvesting permit application is two pages and requests only that information necessary to identify the vessel (fourteen lines), the fishery engaged in (a check), the CCAMLR area fished (a line), and the total tonnage requested (a figure) to meet U.S. obligations under the Convention. The harvesting permit notes the obligation of a permit holder to provide harvesting data to CCAMLR.

(f) Transshipment permit

Authorization to receive transshipments of toothfish will be issued for both vessels requesting a Harvesting and Transshipment permit and for vessels requesting only the transshipment permit.

(i) For those vessels under U.S. jurisdiction that are harvesting AMLRs, when applying for a Harvesting Vessel Permit, there will simply be an additional question asking whether or not a vessel intends to receive transshipments of toothfish. If the permit application is approved, that vessel will receive a permit for both harvesting and transshipment of toothfish.

(ii) For those vessels under U.S. jurisdiction which do not harvest AMLRs but which seek to transship AMLRs, a request for a permit to receive transshipments of toothfish will be made on the same application. Upon approval of this application the vessel would receive a permit allowing for the receipt of transshipments of toothfish.

3. Improved Information Technology:

Permit applications are submitted in written form on application forms and are transmitted by mail. Automated, electronic, mechanical, or other technological techniques or other forms of information technology are not used in the application process but are for some reporting requirements.

4. Duplication of Effort:

No duplication of effort has been identified.

5. Significant impact on small entities:

NMFS does not have information on the size of businesses affected by this action, but believes some of them to be small. Nevertheless, NMFS believes that the action would not have a significant effect on a large number of small businesses.

Should small importing concerns be involved, the use of the renewable dealer permit/ticket system will minimize business burdens.

All forms and applications include clear and complete instructions.

6. Consequences if collection is not conducted or is conducted less frequently:

With respect to harvesting permits, collection is made only at the time of application. Harvesting permits are valid for one or more fishing seasons, depending on the duration of the CCAMLR conservation measure. With respect to dealer permits, collection is made at the time of application, upon submission of import tickets, and in connection with the DCD. Dealer permits are valid only from the time of issuance until the time of expiration unless it is revoked or suspended. This usually corresponds with time/area closures. Import tickets are issued as a business convenience with the dealer permit and allow multiple importations without the need for further application. Both the DCD (for toothfish species) and the import tickets (for all AMLR species, including toothfish) are necessary to deter the possible importation of resources harvested in violation of CCAMLR conservation and management measures (closed area, closed seasons, total allowable catches).

Less frequent collection of permit and ticket information would not provide DOC/NOAA with data it must have for adequate and timely monitoring and reporting on the harvesting and importation of Antarctic resources to the CCAMLR.

7. Special circumstances:

Amendment of the import ticket submission requirement from within 10 days to within 24 hours is designed to enable NMFS to act on any enforcement implications of the information supplied on import tickets before the shipment is released from customs custody or even dispersed. The several requirements for submission of a copy of the DCD or information thereon by the most rapid electronic means possible is justified by the same reason.

8. Public comments/consultation:

The agency will consult with representative entities covered by this collection of information during a seafood trade show and through a request for comment on the proposed rule.

Copies of the 1998 framework regulations were provided to:

National Science Foundation (NSF)
Department of State (DOS)
U.S. Coast Guard
Marine Mammal Commission (MMC)
U.S. Treasury--Customs
Environmental Defense Fund

The U.S. harvesting permit holders were members of the U.S. delegation to the 1992, 1993 and 1995, 1997 and 1999 Annual Meetings of CCAMLR and appeared before the Commission and the Scientific Committee to answer questions concerning fishing activity and future plans. One of

the permit holders was also a member of the AERG-CCAMLR workshop identifying data needs to manage the crab fishery.

9. Payment or gift to respondents:

No payments or gifts will be made to respondents.

10. Confidentiality

Confidential business information is protected in accordance with NOAA Administrative Order 216-100.

11. Sensitivity:

No sensitive information is collected.

12. Burden hour estimate:

The currently-approved burden for 0648-0194 is 35 hours. The following table presents the current and proposed estimates. Those with changes are then explained in detail.

Requirement	Current Hours	Proposed Hours
New or exploratory fisheries	28	28
Radio contact reports	1	1
CCAMLR Ecosystem Monitoring Program Reports	1.5	1.5
Harvesting permit applications	1	2.5
Transshipment permit applications	0	1
Dealer import permit applications	1	15
Import tickets	2.5	22.5
Re-export permit applications	0	5
Catch documentation by importers	0	13.5
Catch documentation by re-exporters	0	5
Catch documentation by harvesting vessels	0	4.5

Requirement	Current Hours	Proposed Hours
TOTALS	35	99.5

Permit-related activities: harvesting (2.5 hours)

Based upon DOC/NOAA experience with the harvesting permit systems, permit applications for established fisheries are expected to take ½ hour each to complete. Given the increased interest in the toothfish fishery NMFS is anticipating an additional 3 vessels will apply.

5 harvesting permit applications for established fishery
@ ½ hour each2.5 hours

Permit-related activities: transshipment (1 hour)

The majority of permit applications for transshipment will be completed along with the harvesting permit, therefore they are expected to take 12 minutes on average to complete.

5 transshipment permit applications for toothfish
@ 12 minutes each..... 1 hour

Permit related activities: dealer import permits and import tickets (37.5 hours)

Dealer permit applications for import should take no more than 30 minutes to complete. Import tickets should take no more than 15 minutes apiece to complete since the information requested tracks data previously requested in applying for a dealer permit. The data must be resubmitted and corrected as appropriate to monitor compliance with CCAMLR conservation and management measures and U.S. implementing regulations. NMFS granted 17 import permits over the course of two years, from 1998 through February 2000. The average number of import tickets submitted per dealer was three. NMFS expects a slight increase over the next few years as more dealers become compliant with the permitting system.

30 dealer permit applications @ ½ hour each.....15 hours
90 import ticket completions @ 15 minutes each.....22.5 hours

Permit related activities: re-exporting (5.0 hours)

Re-export permits should take no more than 30 minutes to complete given that they require the same information as the dealer permit to import application. NMFS expects that only a subset of dealers will apply for re-export permits.

10 re-export permit applications @ 30 minutes each5.0 hours

Catch Documentation activities (23 hours)

Importers would only need to transmit the form as it is received with the shipment to the appropriate government agency (NMFS). This should not take more than 3 minutes per document. The estimate of 270 catch documents used below is derived from: [30 importers x (3 import tickets x 3 catch documents/import ticket)]. Additional time would be required of a dealer wishing to re-export giving an estimate of 10 minutes per catch document. The estimate of 30 catch documents used below is derived from: (10 re-exporters x 3 shipments requiring catch documents). In the event that a U.S. vessel participated in the harvest or transshipment of toothfish it should take no more than 15 minutes to fill out and make appropriate copies. At this time there are no U.S. vessels participating in the harvest or transshipment of toothfish. Given the increased interest in the toothfish fishery NMFS has included the possibility of 3 vessels submitting catch documents (3 shipments each) for this time burden estimate.

270 Catch Documents submitted by importers @3minutes.....	13.5 hours
30 Catch Documents submitted by re-exporters@10 minutes.....	5.0 hours
3 harvesting vessels submitting Catch Documents for 3 shipments each @15minutes.....	2.25 hours
3 harvesting vessels submitting Catch Documents for 3 transshipments each @15 minutes.....	2.25 hours
Subtotal	23 hours

13. Estimate of total annual cost to the respondents or record keepers:

(a) Total capital and start-up cost component: 0.

(b) Total operations, maintenance, and purchase of services component: \$1,220 for cost of photocopies, postage, and facsimile transmissions.

14. Annualized costs to the Federal Government:

Permit system

Processing harvesting applications.....	4 hours
Expected number of applicants.....	5
	20 hours

Processing transshipment applications.....	2 hours
Expected number of applicants.....	5
	10 hours

Processing import applications.....	2 hours
Expected number of applicants.....	30
	60 hours

Processing re-export applications.....	2 hours
Expected number of applicants.....	10
	20 hours

Processing import tickets.....	1/4 hour
Expected number of import tickets.....	90
	22.5 hours

Processing catch documents.....	1/2 hour
Expected number of catch document.....	360
	180 hours

Total burden hours..... 312.5 hours

Wage rate of data processor.....	\$ 10.00
Cost.....	\$ 3125.00
Overhead (multiplied by .35).....	\$ 1093.75
Total cost.....	\$ 4218.75

15. Change in burden: The previously approved burden level for Antarctic harvesting, CEMP and import-related activities was 35 hours. An increase in 65 hours is due to program changes from new requirements. NMFS does intend to reduce the burden once the Catch Documentation Scheme is fully operational and the import permits, and re-export permits are no longer needed for *Dissostichus*.

16. Publication of Information:

The Ecosystem Monitoring and Management Working Group of the CCAMLR Scientific Committee compiles the research and required permit reports submitted by Member States on CEMP site activity and presents these findings in a published form to the Commission. These published reports are available to Member delegations and to interested individuals from the Commission. NMFS does not plan to make available any of the information collections discussed above on the Internet.

17. Expiration date:

The expiration date for OMB approval of the information collection will be displayed on the NOAA forms. No expiration date will be displayed on the *Dissostichus* Catch Document as this is a CCAMLR form.

18. Exceptions to certification statement:

There are no exceptions to the certification statement in Item 19 of the OMB 83-I, except that no PRA-related information is presented on the Dissostichus Catch Document. This is a CCAMLR form that NOAA cannot revise.

Section B. Collections of Information Employing Statistical Methods

Not applicable.

**THE UNITED STATES OF AMERICA
DEPARTMENT OF COMMERCE
NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION**

***APPLICATION FOR DEALER PERMIT TO IMPORT and/or RE-EXPORT
ANTARCTIC MARINE LIVING RESOURCES***

Under the provisions of the Antarctic Marine Living Resources Convention Act 1984, the following persons(s) (1)

submit(s) this application to import Antarctic Marine Living Resources.

Under the provisions of the Antarctic Marine Living Resources Convention Act 1984, the following persons(s) (1)

submit(s) this application to re-export Antarctic Marine Living Resources.

(1) COMPANY NAME: _____
(BUSINESS)

(1) _____
COMPANY ADDRESS

(2) _____ (3) _____
SPECIES TOTAL TONNAGE TO BE IMPORTED

(4a) _____ NAMES OF VESSEL(S) HARVESTING THE RESOURCE	FLAG NATION(S) OF THE VESSEL(S)
1. _____	1. _____
2. _____	2. _____
3. _____	3. _____
4. _____	4. _____
5. _____	5. _____

(4a) AREA(S) TO BE FISHED
(INCLUDES BOTH CCAMLR STATISTICAL
SUBAREAS AND, IN THE CASE OF TOOTHFISH, FAO
STATISTICAL SUBAREAS OUTSIDE CCAMLR WATERS)

1. _____
2. _____
3. _____

(4b) APPROXIMATE DATES OF HARVEST

1. _____
2. _____
3. _____

(4c) AMOUNT TO BE IMPORTED

1. _____
2. _____
3. _____

(4d) GEAR USED

1. _____
2. _____
3. _____

(5) Please check one of the following:

_____ I am applying for a re-export permit in addition to an import permit.

_____ I am applying for a re-export only.

Signature: _____

Title: _____

Submitted Date: _____

Completion of this application is required to obtain a permit to import Antarctic marine living resources under provisions of the Antarctic Marine Living Resources Convention Act of 1984 (16 USC 2431 et seq). No permit will be issued without completion of this application.

**INSTRUCTIONS FOR COMPLETING
APPLICATION FOR A DEALER PERMIT TO IMPORT AND/OR RE-EXPORT
ANTARCTIC MARINE LIVING RESOURCES (AMLR) UNDER THE CONVENTION
ON THE CONSERVATION OF ANTARCTIC MARINE LIVING RESOURCES
(CCAMLR)**

No marine mammal may be imported into the United States unless authorized and accompanied by an import permit issued under the Marine Mammal Protection Act and/or the Endangered Species Act of 1983. Do not use this application to request authorization to import an Antarctic marine mammal.

1. Provide the name, company and business address of person applying for the dealer permit to import and/or re-export .
2. Use the attached list to describe the species to be imported and/or re-exported. Submit one application for each species.
3. Note the estimated tonnage amount for each species to be imported and/or re-exported. Amounts approved for importation and/or re-exportation on permits issued to applicants may not be exceeded.
4. Provide the following information on the resources to be imported and/or re-exported:
 - (a) List the name of the vessel(s) that harvested or will harvest the resource, the flag of those vessels and specific areas that vessels harvested or will harvest from, in the case of toothfish, this includes both CCAMLR statistical subareas and the FAO statistical subareas outside CCAMLR waters.
 - (b) approximate dates of harvest
 - (c) amount of each type of fish or other resource harvested in each area;
 - (d) gear used (including mesh size of any net).
5. Please check the box that applies to whether or not you are requesting a re-export permit along with a request for a permit to import, or whether you are requesting a permit to re-export only.
6. Dealer permits for importing and/or re-exporting are valid from its date of issuance to its date of expiration unless it is revoked or suspended.
7. No resources may be imported in violation of conservation and management measures adopted by CCAMLR and adopted by the United States. Continuing measures and U.S. regulations implementing them appear in Volume 50, Part 300, Subpart G of the Code of Federal Regulations. Annual measures are noticed in the Federal Register and are also available at CCAMLR website located at <http://www.ccamlr.org>.
8. In the event that modifications or amendments to this application become necessary, please submit a new application.

Application must be signed, with title of person signing if for a company.

Return completed Application to:

Assistant Administrator for Fisheries
1315 East-West Highway
Silver Spring, MD 20910
Attn: CCAMLR Permit Office

NOTE:

The United States can only authorize imports of AMLR harvested by vessels licensed to fish by their flag states for AMLR and fishing consistent with measures adopted by the Commission for the Conservation of Antarctic Marine Living Resources for the conservation and management of the harvested species.

The Antarctic Marine Living Resources Act of 1984 is the U.S. statutory authority for requiring import permits. In addition, it addresses the activities of brokers and any U.S. entity in the market chain for Antarctic Marine Living Resources.

Section 306 (3) makes it unlawful to any person to ship, transport, offer for sale, sell, purchase, import, export, or have custody, control of, any Antarctic Marine Living Resource (or part thereof) which he knows or reasonably should have known, was harvested in violation of conservation measures in force with respect to the United States pursuant to Article IX of the Convention [i.e., CCAMLR] or in violation of any regulation promulgated under this title, without regard to the citizenship of the person that harvested, or vessel that was used in the harvesting of, the Antarctic Marine Living Resource (or part or product thereof). This is in addition to making it unlawful to import without a permit. Thus, this section applies to brokers and any other entity offering to sell Antarctic Marine Living Resources, whether that entity is an importer of record or not, and whether the resource enters the U.S. market or an overseas market.

Thus, in your contacts with brokers and with vessels that may be potential sources of AMLR, it is important that you inquire as to whether the vessel holds a currently valid license authorizing it to fish for AMLR species.

If you have any questions about the status of a vessel offering AMLR species, please contact the AMLR Permit Office of the National Marine Fisheries Service, 1315 East West Highway, Silver Spring, Maryland 20910.

NMFS manages Antarctic fisheries and the importation of resulting products under the Antarctic Marine Living Resources Convention Act, codified at 16 U.S.C. 2431 et seq. NMFS implements CCAMLR conservation measures by regulations at 50 CFR part 300, subparts A and G. Changes to the existing regulations are necessary to incorporate new conservation measures and facilitate enforcement. Public reporting burden for this collection of information is estimated to average 30 minutes per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send Comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to National Marine Fisheries Service, 1315 East West Highway, Attention: CCAMLR Permit Office, Silver Spring, Maryland, 20910. Responses to the collection are mandatory. Confidentiality of information collected will be subject to NOAA Administrative Order 216-100, "Confidentiality of Fishery Statistics." Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

THE UNITED STATES OF AMERICA
DEPARTMENT OF COMMERCE
NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION

*APPLICATION FOR PERMIT TO HARVEST and/or TRANSSHIP
ANTARCTIC MARINE LIVING RESOURCES (AMLR)*

A Vessel Identification Form (VIF) is attached to this application for each vessel seeking a permit to harvest AMLR or transship *Dissostichus* species. A Harvesting Information Form (HIF) describing contemplated fisheries, catch, and operations is attached to this application for each vessel seeking a permit to harvest AMLR.

Complete one.

Harvesting AMLR

Under the provisions of the Antarctic Marine Living Resources Act of 1984, the following person(s)

_____ submit(s) this permit application for harvesting resources within the area covered by the Convention on the Conservation of Antarctic Marine Living Resources (CCAMLR).

Is this application for a: New fishery _____ Exploratory fishery _____

Transshipping toothfish

Under the provisions of the Antarctic Marine Living Resources Act of 1984, the following person(s)

_____ submit(s) this permit application for transshipping toothfish species, wherever harvested.

Signature

Submitted by (Firm or individual): _____

Signature: _____

Title: _____

Date: _____

Detailed descriptions of the vessels and the methods of operation proposed are attached to this application. Completion of this application is required to obtain a permit to harvest Antarctic marine living resources under provisions of the Antarctic Marine Living Resources Act Convention of 1984 (16 USC 2431 et seq.). No permit will be issued without completion of this application.

OMB Control #0648-0194
Expires 8/31/00

HARVESTING INFORMATION FORM (HIF)

Use the space below (and supplemental sheets as necessary) to list each target species for which an AMLR harvesting permit is requested and to identify for each: the tonnage requested, CCAMLR statistical area to be fished, gear to be used, and type and amount of bycatch anticipated.

VESSEL IDENTIFICATION FORM (VIF)

- (1) VESSEL NAME: _____
- (2) CALL SIGN _____
- (3) U.S. COAST GUARD NO.: _____
- (4) PORT OF HAIL: _____
- (5) VESSEL TYPE: _____
- (6) LENGTH: _____
- (7) GROSS TONS: _____
- (8) MAX SHAFT OR HORSE POWER _____
- (9) OWNER(S): _____
- OWNER('S) ADDRESS(ES): _____
- _____
- (10) PROCESSING EQUIPMENT: _____
- _____
- _____
- (11) HOLD CAPACITY (IN CUBIC METERS - BALE CAPACITY ONLY):
- HOLD #1: _____ HOLD #2: _____ HOLD #3: _____ HOLD #4: _____
- (IF MORE THAN 4 HOLDS, GIVE TOTAL HOLD CAPACITY) _____
- (12) LIST LAST PERMIT NUMBER _____ IF NONE CHECK _____

VESSEL OWNER'S/APPLICANT'S SIGNATURE

The undersigned acknowledges that he/she is bound by Federal regulations governing the harvest of Antarctic Marine Living Resources in Convention on the Conservation of Antarctic Marine Living Resources (CCAMLR) waters. This permit is valid only so long as the undersigned complies with these applicable regulations.

Knowingly supplying false information for the purpose of obtaining a permit is a violation of Federal law punishable by a fine of up to \$10,000 and/or imprisonment up to 5 years.

Signature: _____ Date _____

CONVENTION ON THE CONSERVATION OF ANTARCTIC
MARINE LIVING RESOURCES (CCAMLR)

INSTRUCTIONS FOR COMPLETING
APPLICATION FOR PERMIT TO HARVEST and/or TRANSSHIP
ANTARCTIC MARINE LIVING RESOURCES (AMLR)
VESSEL INFORMATION FORM (VIF)
HARVESTING INFORMATION FORM (HIF)

Complete an application and VIF for each vessel for which a permit is requested. Applicants for a harvesting permit should also submit an HIF. Submit these documents at least 90 days before harvesting and/or transshipment activities are to begin. This allows time for review, issuance and delivery of the permit. Timely submission will ensure prompt consideration of your request. Incomplete, unsigned, or improperly signed applications will be returned for completion.

Type all materials in English. Complete all items except the space near the top, right hand corner labeled "No." A number will be assigned by the Government of the United States.

Application for Permit to Harvest and/or Transship Marine Living Resources

- (1) **Harvest:** If this is an application to harvest AMLR, please complete the harvesting line.

New or Exploratory Fisheries: If this is an application to initiate a new fishery or participate in an exploratory fishery, please check either the New Fishery or Exploratory box.

New Fishery. A new fishery is defined as a fishery on a species using a particular method in CCAMLR statistical subarea for which: (1) information on distribution, abundance, demography, potential yield and stock identity from comprehensive research/surveys or exploratory fishing has not yet been submitted to CCAMLR; (2) catch and effort data have never been submitted to CCAMLR; or (3) catch and effort data from the two most recent seasons in which fishing has occurred have not been submitted to CCAMLR. If you are applying to initiate a new fishery, submit an application to the Assistant Administrator no later than July 1 of the year in which you are requesting to fish. Your application must be accompanied by information on: (1) the nature of the proposed fishery, including target species, methods of fishing, proposed region, and any minimum level of catches that would be required to develop a viable fishery; (2) biological information from comprehensive research/survey cruises, such a distribution, abundance, demographic data and information on stock identity; (3) details of dependent and associated species and the likelihood of them being affected by the proposed fishery; and (4) information from other fisheries in the region or similar fisheries elsewhere that may assist in the valuation of potential yield. This information should be submitted as a narrative attached to the harvesting vessel application. If you need assistance in providing this information, please contact the National Marine Fisheries Service, Southwest Fisheries Science Center, Antarctic Ecosystem Research Group, P.O. Box 271, LaJolla, California 92038-0271 or phone (858) 546-5601.

Exploratory Fishery: An exploratory fishery is a fishery that was originally a new fishery, but has not yet been fully developed. A fishery will continue to be classified by CCAMLR as an exploratory fishery until sufficient information is available to (1) evaluate the distribution, abundance, and demography of the target species, leading to an estimate of the fishery's potential yield; (2) review the fishery's potential impacts on dependent and associated species; and (3) allow the CCAMLR Scientific Committee to formulate and provide advice to the Commission for the Conservation of Antarctic Marine Living Resources on appropriate harvest catch levels and fishing gear. If you are applying to participate in an exploratory fishery, submit an application to the Assistant Administrator no later than four months before the annual meeting of CCAMLR (i.e., no later than July 15 in any given year).

- (2) **Transshipment:** If this is an application to transship *Dissostichus* species, whether harvested within or outside CCAMLR waters, please complete the transshipment line.

Vessel Identification Form (VIF)

- (1) **Vessel Name:** Type in the name of the vessel.
- (2) **Call Sign:** Enter the vessel identifying markings permanently affixed to the vessel, normally the international radio call sign.
- (3) **U.S. Coast Guard Documentation Number:** Enter the Coast Guard Documentation number of the vessel.
- (4) **Port of Hail:** Enter the port of registration of the vessel.
- (5) **Vessel Type:** Enter one of the following vessel types:

Stern Trawler
(small/0-289 GRT, medium/290-1399 GRT
large/1,400 plus GRT)
Side Trawler
Side Trawler/Purse Seiner
Pair Trawler
Danish Seiner
Purse Seiner
Longliner

Longliner/Pot
Longliner/Gillnet
Gillnet
Troller
Factory/Mothership
Cargo/Transport
Tanker
Patrol/Cargo

If other than one of the above, specify.

- (6) **Length:** Enter the vessel's overall length to the nearest meter.
- (7) **Gross Tons:** Enter the registered gross tonnage, GRT, rounded to the nearest metric ton.
- (8) **Maximum Shaft Power or Horse Power:** Enter the vessel's maximum shaft power (kw at...rev/min) or horse power.
- (9) **Owner's Name and Address:** Enter the names and mailing addresses of all owners of the vessel. If there is more than one owner, enter the first name and address on the VIF and the other names and addresses on attached pages. "Owner" includes any person, company, or government agency that owns the vessels; any charterer, whether bareboat, time or voyage; and any person or company that acts in the capacity of a charterer, including but not limited to parties to a management agreement, operations agreement, or any similar agreement that bestows control over the destination, function, or operation of the vessel.
- (10) **Processing Equipment:** List the types of fish processing equipment aboard the vessel such as flash freezer, header, eviscerator, filleter, fish meal plant, fish oil plant, surimi plant, cannery, etc.
- (11) **(Fill out only for a harvesting permit) Hold Capacity:** Enter in cubic meters the hold capacity for each hold or other space (including flash freezers) in which fish or fish products may be stored. Use **bale** capacity only. If there are more than four (4) holds, give the total hold capacity in cubic meters. Otherwise, list the holds individually. Record this information **accurately**; the data are used by enforcement officials and CCAMLR inspectors to determine the quantity of fish or fish products aboard the vessel.
- (12) **(Fill out only for a harvesting permit)** Indicate if the vessel has fished in Convention waters in prior years by listing the last permit application number. If the vessel has never applied for a permit, indicate so with a check mark next to the blank marked "none."
- (13) If the permitted vessels will be supporting or working with foreign vessels that are not permitted by the United States, please provide the information requested in (12) for the non-permitted foreign vessels. Also, provide the name of the foreign vessel, the flag of the vessel, the call sign, and type of vessel.
- (14) In the event the modifications or amendments to this application become necessary, please submit a new application.

Harvesting Information Form (HIF)

(1) **Target species:**

Identify all target species. Categories include: finfish, krill, squid, crab, and other species. If finfish is identified, please specify from the list below which finfish will be harvested.

Antarctic Finfish include:

Humped rockcod (Gobionotothen gibberifrons)
Marbled rockcod (Notothenia rossii)
Grey rockcod (Lepidorhynchus squamifrons)
Striped-eyed rockcod (Lepidonothus kempi)
Patagonian toothfish (Dissostichus eleginoides)
Antarctic toothfish (D. mawsoni)
Lanternfish (Electrona carlsbergi)
Patagonian rockcod (Patagonotothen brevicecauda guntheri)
Antarctic silverfish (Pleuragramma antarcticum)
Antarctic cods (Trematomus spp.)
Blackfin icefish (Chaenocephalus aceratus)
Spiny icefish (Chaenodraco wilsoni)
Mackerel icefish (Champsocephalus gunnari)
Ocellated icefish (Chionodraco rastrospinosus)
South Georgia icefish (Pseudochaenichthys georgianus)

- (2) **Total Tonnage Requested.** For each species, enter the requested amounts in metric tons. If more tonnage is needed after submission of the first application, another application is required to increase the earlier request. If an additional application is not submitted to increase the tonnage from the initial application, you may only harvest the amount initially requested.
- (3) **CCAMLR Statistical Areas:** See enclosed map for designation of CCAMLR areas. Enter the CCAMLR statistical area(s) where each species will be harvested.
- (4) **Gear to be used:** Identify the gear which will be used in harvesting each requested species.
- (5) **Type and amount of bycatch:** Identify the type and amount of bycatch anticipated to be taken in each Statistical Area while harvesting for each requested species and the planned disposition of the bycatch (i.e., whether it is to be retained or discarded).

Completed applications should be sent to the following address:

Assistant Administrator for Fisheries
National Marine Fisheries Service
1335 East-West Highway
Silver Spring, Maryland 20910
Attention: CCAMLR Permit Office

NMFS manages Antarctic fisheries and the importation of resulting products under the Antarctic Marine Living Resources Convention Act, codified at 16 U.S.C. 2431 *et seq.* NMFS implements CCAMLR conservation measures by regulations at 50 CFR part 300, subparts A and G. Changes to the existing regulations are necessary to incorporate new conservation measures and facilitate enforcement. Public reporting burden for this collection of information is estimated to average 30 minutes per response in the case of a harvesting permit and 12 minutes in the case of a transshipment permit, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send Comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to National Marine Fisheries Service, 1315 East West Highway, Attention: CCAMLR Permit Office, Silver Spring, Maryland, 20910. Responses to the collection are mandatory. Confidentiality of information collected will be subject to NOAA Administrative Order 216-100, "Confidentiality of Fishery Statistics." Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

**UNITED STATES OF AMERICA
DEPARTMENT OF COMMERCE
NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION
ANTARCTIC MARINE LIVING RESOURCES**

IMPORT TICKET NO. _____

NAME OF IMPORTER: _____
(INDIVIDUAL)

COMPANY NAME: _____
(BUSINESS)

IMPORTER ADDRESS:

COMPANY ADDRESS:

SPECIES IMPORTED AND DATE:	QUANTITY OF SPECIES (In metric tons)	APPROX. HARVEST DATE
1. _____	1. _____	1. _____
2. _____	2. _____	2. _____
3. _____	2. _____	3. _____

HARVESTING VESSEL(S) NAME(S)

FLAG NATION

1. _____
2. _____
3. _____

1. _____
2. _____
3. _____

AREA FISHED (Includes CCAMLR statistical subareas
and, in the case of toothfish, FAO statistical subareas
outside CCAMLR waters)

1. _____
2. _____
3. _____

HARVESTING PERMIT OR LICENSE NUMBER
AND DATES OF VALIDITY

1. _____
2. _____
3. _____

CF7501 NUMBER (issued by Customs)

1. _____
2. _____
3. _____

SignatureDate

Title (Business)

**Return this Import Ticket along with Catch Documents within 24 hours after importing resource(s) to the
address below, or fax to (228) 762-7144:**

National Seafood Inspection Laboratory
National Marine Fisheries Service
705 Convent Street
Pascagoula, MS 39567
Attention: CCAMLR Data Management

NMFS manages Antarctic fisheries and the importation of resulting products under the Antarctic Marine Living Resources Convention Act, codified at 16 U.S.C. 2431 et seq. NMFS implements CCAMLR conservation measures by regulations at 50 CFR part 300, subparts A and G. Changes to the existing regulations are necessary to incorporate new conservation measures and facilitate enforcement. Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send Comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to National Marine Fisheries Service, 1315 East West Highway, Attention: CCAMLR Permit Office, Silver Spring, Maryland, 20910. Responses to the collection are mandatory. Confidentiality of information collected will be subject to NOAA Administrative Order 216-100, "Confidentiality of Fishery Statistics." Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

DISSOSTICHUS RE-EXPORT DOCUMENT			
Re-Export Section			
1. Description of Fish			
Species	Type of Product	Net Weight Exported (kg)	Dissostichus Catch Document Number Attached
Species: TOP <i>Dissostichus eleginoides</i> , TOA <i>Dissostichus mawsoni</i> Type: WHO Whole; HAG Headed and gutted; HAT Headed and tailed; FLT Fillet; HGT Headed, gutted, tailed; OTH Other (Specify)			
2. Re-Exporter Certification: I certify that the above information is complete, true, and correct to the best of my knowledge, and that the above product comes from product certified by the attached <i>Dissostichus</i> Catch Document(s).			
Name	Address	Signature	Date Export license (If applicable)
3. Re-Export Government Authority Validation: I validate that the above information is complete, true, and correct to the best of my knowledge.			
Name/Title	Signature	Date	Seal (Stamp)
4. IMPORT SECTION			
Name of importer		Address	
Point of Unlading: City		State/Province	Country